

B 210A (Form 210A) (12/09)



## UNITED STATES BANKRUPTCY COURT

Southern District of New York

In re Lehman Brothers Holdings Inc, et al.,  
Debtors

Case No. 08-13555 (JMP)  
(Jointly Administered)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

Carlota Galán Ruiz

Name of Transferee

Name and Address where notices to transferee should be sent:  
c/o KBL Monaco Private Bankers  
Att. Riad Lachelak  
8, Avenue de Grande Bretagne  
MC 98000 MONACO  
Phone: +377 92 16 55 55  
Last Four Digits of Acct #: 4744

Name and Address where transferee payments should be sent (if different from above):

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Karl Limited

Name of Transferor

Court Claim # (if known): 45827  
Amount of Claim: \$316,962.55  
Date Claim Filed: 10/26/2009

Phone: +377 97 77 28 60

Last Four Digits of Acct #: 7077

Lindsay Leggett Smith

For and on behalf of

C.L. DIRECTORS (MONACO) LIMITED

Director of Karl Limited

Transferor

Stephane Poshelli

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By: Riad Lachelak

Transferee/Transferee's Agent

Riad Lachelak / transferee's Agent  
Head of client support administration at KBL Monaco Private Bankers

*Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.*

Date: 11/20/2013

Form **W-8BEN**  
(Rev. December 2000)

Department of the Treasury  
Internal Revenue Service

## Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

OMB No. 1545-1621

- Section references are to the Internal Revenue Code.
- See separate instructions.
- Give this form to the withholding agent or payer. Do not send to the IRS.

**Do not use this form for:**

- A U.S. citizen or other U.S. person, including a resident alien individual . . . . . Instead, use Form: W-9
- A person claiming an exemption from U.S. withholding on income effectively connected with the conduct of a trade or business in the United States . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) . . . . . W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) . . . . . W-8ECI or W-8EXP

**Note:** These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary . . . . . W-8IMY

**Note:** See instructions for additional exceptions.

### Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner <b>CARLOTA GALAN RUIZ</b>	2 Country of incorporation or organization <b>SPAIN</b>															
3 Type of beneficial owner: <table style="margin-left: 20px; border: none;"> <tr> <td><input checked="" type="checkbox"/> Individual</td> <td><input type="checkbox"/> Corporation</td> <td><input type="checkbox"/> Disregarded entity</td> <td><input type="checkbox"/> Partnership</td> <td><input type="checkbox"/> Simple trust</td> </tr> <tr> <td><input type="checkbox"/> Grantor trust</td> <td><input type="checkbox"/> Complex trust</td> <td><input type="checkbox"/> Estate</td> <td><input type="checkbox"/> Government</td> <td><input type="checkbox"/> International organization</td> </tr> <tr> <td><input type="checkbox"/> Central bank of issue</td> <td><input type="checkbox"/> Tax-exempt organization</td> <td><input type="checkbox"/> Private foundation</td> <td colspan="2"></td> </tr> </table>	<input checked="" type="checkbox"/> Individual	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government	<input type="checkbox"/> International organization	<input type="checkbox"/> Central bank of issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation			
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<input type="checkbox"/> Central bank of issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation														
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <b>PSEO SARASATE 22 3 A</b>																
City or town, state or province. Include postal code where appropriate. <b>PAMPLONA, NAVARRA</b>		Country (do not abbreviate) <b>SPAIN</b>														
5 Mailing address (if different from above)																
City or town, state or province. Include postal code where appropriate.		Country (do not abbreviate)														
6 U.S. taxpayer identification number, if required (see instructions)		7 Foreign tax identifying number, if any (optional)														
<input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN																
8 Reference number(s) (see instructions)																

### Part II Claim of Tax Treaty Benefits (if applicable)

#### 9 I certify that (check all that apply):

- a  The beneficial owner is a resident of ..... within the meaning of the income tax treaty between the United States and that country.
- b  If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
- c  The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
- d  The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
- e  The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.

- 10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article ..... of the treaty identified on line 9a above to claim a ..... % rate of withholding on (specify type of income): ..... Explain the reasons the beneficial owner meets the terms of the treaty article: .....

### Part III Notional Principal Contracts

- 11  I have provided or will provide a statement that identifies those notional principal contracts from which the income is not effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

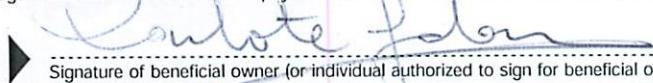
### Part IV Certification

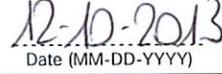
Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates.
- The beneficial owner is not a U.S. person.
- The income to which this form relates is not effectively connected with the conduct of a trade or business in the United States or is effectively connected but is not subject to tax under an income tax treaty, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here

  
Signature of beneficial owner (or individual authorized to sign for beneficial owner)

  
Date (MM-DD-YYYY)

Capacity in which acting

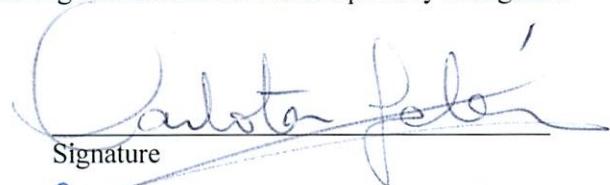
**CERTIFICATION REGARDING STATUS**

Creditor Name: Mrs Carlota Galán - Ruiz

Claim Number(s): 45827

I, the undersigned, am the above-referenced creditor, or an authorized signatory for the above-referenced creditor (the "Creditor"), and hereby certify that neither the Creditor nor, to the best of the Creditor's knowledge, any person or entity for whom the Creditor may be acting or who may be the beneficial owner of the applicable claim(s), security/(ies), or interest(s) is a person or entity with whom it is illegal for a U.S. person to transact under the OFAC sanctions regulations and the list of Specially Designated Nationals and Blocked Persons.

Dated: 12-10-2013

  
Signature

CARLOTA GALAN - RUIZ  
Print Name

\_\_\_\_\_  
Title (if applicable)